

# NAVAL POSTGRADUATE SCHOOL MONTEREY, CALIFORNIA



## THESIS

### DEVELOPING HIGHLY EFFECTIVE MARINE LEADERS

by

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December, 1995

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**DEVELOPING HIGHLY EFFECTIVE MARINE LEADERS**

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Submitted in partial fulfillment  
of the requirements for the degree of

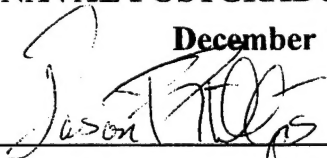
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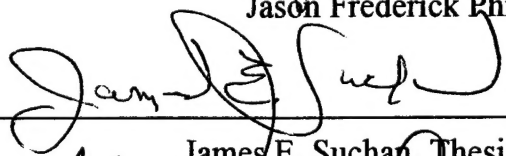
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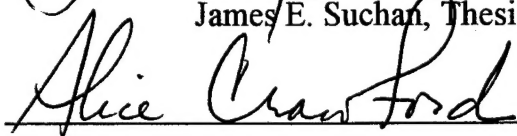


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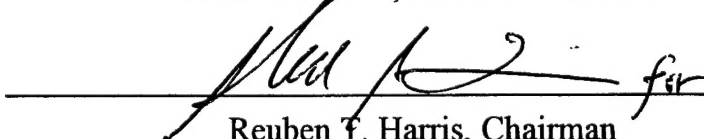
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## ABSTRACT

Warfare in the 21st century will move down two divergent paths. On the one hand, it will reflect many of the characteristics seen in the Gulf War: decentralization of the battlefield, four dimensional theater, utilization of high-tech weapons, quick tempo, and an overabundance of information flow. On the other, it will reflect the recent occurrences referred to as Operations Other Than War. Here, war is not the primary medium of conflict. The diversity in warfare will create many demands for Marine leaders that will necessitate the identification of specific *needs* that Marine leaders will need to fulfill. This thesis addresses the *needs* all Marine leaders will face, and explains why an integration of Stephen R. Covey's The Seven Habits of Highly Effective People with Principle-Centered Leadership will fill those needs. Not only would this integration enhance Marine leadership but it would also create the necessary foundation at the personal and interpersonal levels for success. Once the Marine's foundation is established, the managerial and organizational levels of the Marine Corps have the framework in place for creating and maintaining a principle-centered alignment that will increase all Marine leadership ability as the 21st century approaches.



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## I. INTRODUCTION

### A. PURPOSE

This study attempts to enhance current Marine Corps leadership education efforts. The objective is to provide an in depth study of how Stephen R. Covey's Principle-centered Leadership (Covey, 1991) can effectively integrate The Seven Habits of Highly Effective People (Covey, 1989) and Deming's concepts of continuous improvement (Deming, 1986).

### B. SCOPE AND ASSUMPTIONS

#### 1. Scope

This thesis addresses the needs that 21st century Marine leaders will face, and why Stephen R. Covey's Principle-centered Leadership is best suited to fill those needs. The intention of this study is to provide an effective link between the Seven Habits and continuous improvement efforts discussed in Hoke M. Rose's Marine Leadership Model (Rose, 1995).

#### 2. Assumptions

This thesis assumes that all readers currently possess a foundational knowledge in these areas: Warfighting philosophy, Traditional Marine leadership education, Stephen R. Covey's Seven Habits of Highly Effective People, and W. Edwards Deming's principles for continuous improvement. Moreover, this work assumes that the reader has heard of the Marine Leadership Model, which seeks to integrate the aforementioned into a *Marine* specific leadership educational module.

## **C. KEY PLAYERS**

This section seeks to introduce the reader to the key parties involved with the efforts surrounding this thesis. Also, to provide the reader with a fundamental understanding of the unique relationships created.

### **1. Author**

For the past three years the author has had the privilege of attending numerous leadership seminars and conferences. While serving as a platoon commander from 1993-1994, the author educated his Marines on the Steven Covey's Seven Habits and witnessed tremendous improvements in his unit's effectiveness. As a result of this success, the author liaised with Headquarters Marine Corps and with Captain Hoke Rose to help lend efforts to the ongoing process of Marine Leadership education.

### **2. Sponsor**

In February 1995, liaison was made with Colonel D.J. Turner at the Total Quality Leadership (TQL) office. Familiar with the ongoing efforts to include Covey's Principle-Centered Leadership within the Marine leadership education process, Colonel Turner directed the author to Captain Hoke Rose at the Naval Postgraduate School.

Liaison was made and the author was told that more research was necessary in the area of integrating Principle-Centered Leadership at the Managerial and Organizational levels, to include the recently created Marine Leadership Model.

Support from the TQL office came in the area of funding and access to essential parties. Further backing is necessary for seeing this and other work tested within the Marine Corps.

#### D. ORGANIZATION OF THESIS

This thesis is divided into four chapters. Chapter I gives the reader the introduction to the thesis. Chapter II, "Assessing the 21st Century," explains how Marines will wage warfare in the 21st century. Moreover, the demands and "needs" Marine leaders will incur in the next century are also addressed.

Chapter III, "The Seven Habits," discusses how/why the principles behind Steven Covey's Seven Habits of Highly Effective People are best suited to not only link the myriad of traditional leadership teachings but also to fill those 21st century "needs" all Marine leaders will face.

Chapter IV, "Principle-Centered Leadership," explores principle-centered leadership in depth at the Managerial and Organizational levels. Specifically, the author ties in the governing principles behind each level, and discusses the roles of leadership at both levels. In the end, the author seeks to show that principle-centered leadership cannot only fill the "needs" Marine leaders will face in the 21st century but also will tie together traditional Marine leadership teachings, Warfighting, and continuous improvement methods through Steven Covey's framework given in Principle-Centered Leadership.

Chapter V, "Conclusions," links the previous three chapters. Specifically, by restating the needs Marine leaders will face, how the Seven Habits can effectively address those needs, and why Principle-Centered leadership is an effective tool for integration of the Seven Habits at the Managerial and Organizational levels, the author seeks to establish a framework for effective decision making into the 21st century.



## II. ASSESSING THE 21ST CENTURY

In order to assess the characteristics and needs of Marine leaders in the 21st century, an understanding of how 21st century warfare will be waged must be accomplished. Next, the demands of Marine leaders in their new environments must be addressed. Only then can one attempt to identify those needs that will be imperative for Marines as we move into the 21st century.

### A. WARFARE IN THE 21ST CENTURY

Warfare of the 21st century will tend to move down two divergent paths. The first will reflect many of the characteristics represented in the Gulf War and today's Information Age. In the Gulf War we saw a battlefield that was extremely *decentralized*, *four dimensional* (Toffler, 1993), littered with "smart" weapons and *technology*, of an extremely quick *tempo*, and one that possessed an overabundant amount of *information flow* (Widnall, 1995). The second path will reflect the recent occurrences in Bosnia, Haiti, and Somalia. Operations Other Than War (OOTW) are on the rise where war is not the primary medium of conflict (Teti, 1995).

Both the Marine Corps' **Warfighting** (FMFM 1) and the Army's **AirLand Battle Doctrine** (FM 100-5) call for training and combat which is decentralized by nature. This is precisely what was displayed in the Gulf War. Not only does decentralization of the battlefield create the need for a higher degree of initiative and communication, but it also establishes a quicker response time, which is critical in today's ever-changing and fluid war environment. In the

Gulf war we saw squad leaders and Non Commissioned Officers (NCOs) making decisions that were once reserved to Staff Non Commissioned Officers and officers.

Secondly, the Gulf War was four dimensional. Four dimensional war goes beyond the traditional facets of war (air, land, and sea) and includes space. This type of warfare is extremely complex and not only requires a higher degree of communication, but also a greater understanding of the "big picture" and how everyone and everything links together.

In the Gulf War, space played as important a role as did the other components. Thus, it can be concluded that the war in space was definitely a deciding factor for the United States victory. In Alvin Toffler's **War and AntiWar** he argues that:

Space added a fourth dimension to the war. It influenced the general direction of the conflict and saved lives. Space...provided detailed images of Iraqi forces and the damage inflicted by allied air attacks. It gave early warning of Scud missile launches. Space provided a navigation system of stunning accuracy that touched upon the performance of every combat soldier, and on missiles, tanks, aircraft and ships. Satellites identified targets, helped ground troops avoid sandstorms, and measured soil moisture, telling the allied commander precisely what parts of the desert could support tank movements. It seems clear that a new style of warfare is upon us. (Toffler, 1993)

Indeed, the information made available through the use of our "fourth" dimensional assets enabled commanders to make better, more timely decisions. In turn, these decisions not only saved materiel and labor, but also "friendly" lives.

Next, the Gulf War displayed new weapons of precise accuracy. "Smart" weapons, such as cruise missiles, were on

display for the world to see, and their success was obvious. Whether they were launched from the air or the sea, their ability to effectively neutralize or destroy the target not only saved time and lives, but also showed the power of information warfare. While in flight these weapons continually received information that updated their trajectory and flight patterns. As long as these weapons were able to receive their information free of enemy manipulation, they were extremely effective. This enhanced precision that modern weaponry possesses brings forth the need for Marine leaders to ensure that their communication and decision making process is coherent and timely.

Lastly, all personnel involved in the Gulf War were involved in a conflict that possessed a very quick tempo. Battlefields which possess high tempos necessitate the need for increased initiative, communication, and teamwork. This was easily illustrated by the successful ground campaign. The ground campaign utilized a main attack "left hook" with the use of heavy-armor against the Iraqi right flank. This sweep covered tremendous amounts of terrain while successfully maintaining command and control. In short, the pace at which the battle was fought was rapid from beginning to end, thereby denying the Iraqi's the ability to effectively counter the Allied offensive.

What aided in our ability to maintain a high tempo was our ability to process and disseminate information to both higher and lower personnel. This broad dissemination of information requires that trust on both the sending and receiving end of the information spectrum is present.

Space systems, coupled with successful networking with computers greatly enhanced communications. The Gulf War seemed to be the first war in which an ounce of silicon

might have been worth more than a ton of uranium (Toffler, 1993).

The Secretary of the Air Force, The Honorable Sheila E. Widnall, argues that information control is becoming an essential component for decisive advantage:

The ability to create, disseminate, access, and manipulate information for one's own ends and to control information available to competitors or adversaries produces a potential for decisive advantage. Much as the introduction of the airplane moved us into the three-dimensional battlefield, informational technologies lead us to consider the potential of operations in a four dimensional, virtual battlespace. (Widnall, 1995)

In short, information is rapidly becoming the force multiplier of the future. If we can dominate information and communication on the battlefield, we can achieve that decisive edge.

Warfare in the 21st century will also comprise what is commonly referred to as OOTW (Operations Other Than War). Here, the Marine Corps will be sent into situations where war is not the primary medium of conflict. It will be characterized by internal struggles that pit the "haves" against the "have-nots." The Marine Corps will be called upon to act in a variety of roles and responsibilities either as an adjunct to the UN, as a premier global response force, or as the crisis response force that can project the influence of the US. Recent occurrences in Bosnia, Haiti, and Somalia indicate that OOTW will exist. Professor Frank Teti, Chairman of the National Security Affairs department at the Naval Postgraduate School, argues this dilemma:

The one thing that seems evident is that the perception of warfare into the 21st century is one that will have Third Wave, high-tech. nations fighting against First Wave



nations. The world will definitely see an increase in conflict between the "haves" and the "have-nots". (Teti, 1995)

In short, warfare of the 21st century seems to be heading down two divergent paths. On the one end, it will be information intensive, knowledge sensitive, decentralized, and of many dimensions. This is characterized by the Gulf War. On the other, it will be comprised of situations where war is not the primary medium of conflict (OOTW). This is characterized by humanitarian and peace keeping missions.

If this is a glimpse of warfare of the 21st century, then one question must be addressed. What old/new demands will be placed upon 21st century Marine decision makers?

#### **B. DEMANDS ON MARINE DECISION MAKERS IN THE 21ST CENTURY**

In the Commandant's Planning Guidance, General Krulak argues that the demands will encompass these facets:

The demands will require deep reservoirs of military skill, intellect, and innovation. They (Marines) will need to be educated to act intelligently and independently, trained to seek responsibility, required to be accountable, and molded to act with boldness and initiative. Our Marines' moral character and ethical values will dominate any location... (Krulak, 1995)

In short, it seems that warfare of the 21st century carries, now more than ever, an *interdependent* reality. The recent rise of Joint and Coalition warfare has ensured all Marines that everything we do directly affects other services. We will be inextricably linked not only with the other services, but also with foreign coalitions. Moreover, Marines, as well as their organizations, will be less in control of their environments. Whether we are in a Joint

arena or part of a Coalition force, fighting an information war or an OOTW, Marines of tomorrow will have to regard the impact of their actions on all of the participants affected. Thus, Marines and their organizations will have to ensure all they do is in alignment with the interdependent reality of the world, as well as its forms of warfare. Captain Hoke Rose discusses these concepts of interdependency and how it relates to effective mission accomplishment:

Organizations and individuals will have to guide their skills, managerial style, systems, and structures in alignment with the interdependent nature of...military alliances, non-governmental organizations. That is, leaders not only value the decentralizing effect of increased information flow upon their own ability to control a situation, they live the reality. Learning new communication skills, manifesting an empowering managerial style, streamlining processes...represent a new approach in achieving mission accomplishment in an effective, optimal fashion. (Rose, 1994)

To this point, 21st century warfare and its demands have been discussed. Next, the critical needs of Marine leaders in the 21st century will be analyzed.

### **C. THE NEEDS OF MARINE LEADERS IN THE 21ST CENTURY**

The following needs are essential for all leaders if the Marine Corps is to maintain its effectiveness in the environments we will find ourselves in during the next century. The majority of these needs are not new to the extent that throughout time the Marine Corps has had to address them. But as we move into the next century, the aforementioned competing demands and nature of warfare will force the Marine Corps to adopt a "flattened" hierarchy. The information flows, whether vertical or horizontal, will

necessitate the need for an organization that is not dominated by our concepts of a traditional hierarchy. For example, the networking of computers, use of E-mail, and extended group work all cross traditional concepts of communication flow. Thus, past notions of how a chain of command is employed will be challenged. Therefore, Marine leaders need to realize that the 21st century will bring forth multiple changes to not only our organization, but also to our traditional hierarchy, which is currently in place. As a result, these needs listed below result from the dynamic changes in warfare and the interdependent demands that flow forth.

First, Marines will have to be *proactive*. To meet the Commandant's goal of having leaders that can possess deep reservoirs of skill, intellect, and innovation, we must be proactive. Whether we are fighting a war similar to the Gulf War or responding rapidly to OOTW, proactivity will be essential for maintaining our preparedness and ability to respond.

Secondly, Marines will have to be able to understand the "*Big Picture*" of the broadening spectrum of conflict. This will not only include commander's intent, but also full understanding of how we link decisions to execution--that we require a human not a technological focus that represents our interdependent reality. In short, Marine leaders need to place the emphasis of their decision making efforts on their Marines instead of the technology that surrounds them.

Thirdly, Marines will have to be effective *managers*. Indeed, we will always be required to put the commander's intent first during conflict. But in peacetime we now will have to consider multiple factors: customer-perceived

quality, the streamlining of activities with the use of process controls, the elimination of non-value added work, and the development of long-term relationships with all of our personnel affected.

Fourthly, Marines will have to be *cooperative*. We are in an interdependent world, and the Marine Corps, as well as its leaders, will have to build highly interdependent, familial relationships within their organizations in order to remain effective.

Again, the Commandant argues that Marines will need to not only act intelligently and independently, but also with responsibility, accountability, and decisiveness. What is being argued is a mind-set for Win/Win between and among Marines. Just because one person wins does not mean that another has to lose. Here, zero sum relationships are put aside for relationships that create solid, productive results for all involved.

Next, Marines will have to be effective *communicators*. On the most basic level, this is about fully understanding commander's intent in a mutual fashion. To a higher degree, this encompasses the ability to coordinate effectively with other services, militaries, nations, and coalitions by first seeking to understand before seeking to be understood. Moreover, Marines will have to be able to represent strengths, weakness, capabilities, and limitations of their organization within the context of both Joint and Coalition warfare.

Sixth, Marines will have to be *team-builders*. This requires the ability to support and incorporate doctrine in Joint and Coalition warfare. Also, team-building includes accepting the added risk by delegating authority to

subordinate Marines during operations with a rapid tempo. Moreover, leaders will have to create trusting relationships with all Marines in order to successfully allow "brainstorming" to flourish, thereby allowing Marines in their organization to find and develop new alternatives to old problems. To be successful we must continue to develop the *character* of our force, thus enabling Marines to be able to rapidly accept change and the variety of conditions in this upcoming era of Joint and Coalition warfare.

Lastly, Marines will have to be dedicated to constant *improvement*. Professional Military Education (PME) is good, but it is not enough. Marines need to be physically, emotionally, spiritually, and mentally prepared to accept the challenges and changes to come forth in their future environments. Constant improvement must also take on the aspect of reevaluation. We must continually reevaluate these four dimensions in our lives to ensure that all we do is in line with our moral compasses.

The nature of 21st century warfare will be demanding. It will require a Marine force that can adeptly handle the vast, competing interdependent demands of future environments. In turn, these demands will require all Marines to possess specific characteristics and *needs* in order to maintain our effectiveness into the next century.



### **III. THE SEVEN HABITS**

Thus far, the needs that Marine leaders will require in the 21st century has been discussed. At the basic personal and interpersonal levels, each Marine's needs can best be met within the confines of the Seven Habits included in Covey's Maturity Continuum.

#### **A. THE MATURITY CONTINUUM**

The Maturity Continuum effectively displays the process that all Marines undertake in life: dependence, independence, interdependence. We all begin life as infants, dependent upon others for our sustainment. As we progress in life, we begin to mature, but we may remain dependent, even as adults. When Marines are dependent, they tend to expect results to be caused for them. They tend to blame others for mistakes that occur. Moreover, they seek personal acceptance through external actions brought to them.

The second stage of the Maturity Continuum is independence. Here Marines no longer expect others to make them content or successful. Also, Marines begin to handle their problems by themselves. Their self-worth and security comes from their productive, independent actions.

The third stage of the Maturity Continuum is interdependence. Being independent will never enable Marines to be completely fulfilled or be completely effective. The culture and missions of the Marine Corps makes Marines "social" animals. Daily, we are involved in social and political events that we cannot undertake alone. Interdependence with others is required in order to be effective because sheer independence will always leave us short of optimal results.

This Maturity Continuum (see Figure 1) not only provides a model that helps explain the basics of human nature but also addresses the needs that Marine leaders will have to meet in the 21st century.

## THE MATURITY CONTINUUM

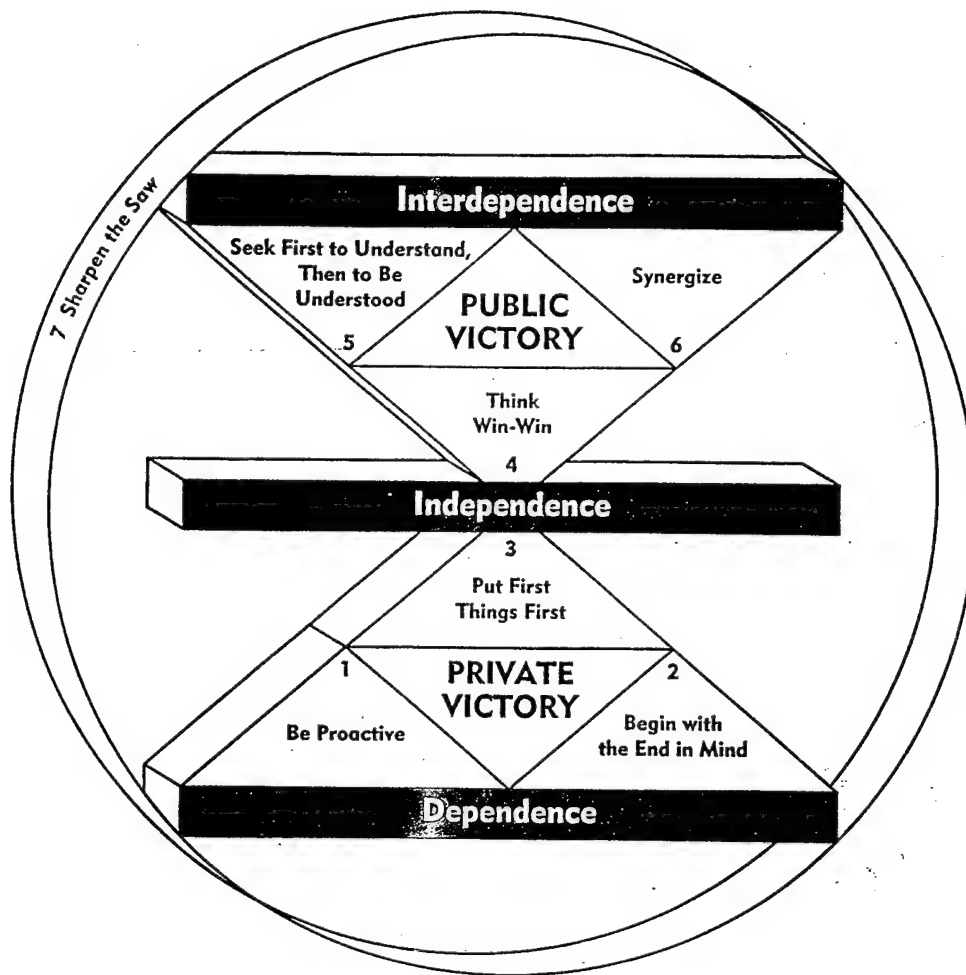


Figure 1. The Maturity Continuum/Seven Habits Model  
(Source: Covey, 1989)



## **B. THE SEVEN HABITS OF HIGHLY EFFECTIVE PEOPLE**

Within the confines of the Maturity Continuum lie the Seven Habits. Earlier it was argued that there were seven fundamental needs essential for all Marine leaders as we move into the 21st century. Moreover, for leaders to be effective, we must pursue them. These seven needs will be addressed within the Maturity Continuum and provide a process that will enable Marine leaders to move from dependence to independence and finally to interdependence. This process and growth to interdependence is precisely what is required of Marine leaders in the 21st century.

### **1. Habit 1 Be Proactive**

Proactivity is the principle of personal vision. It is the power to choose our own responses. Simply put, it is the power and freedom, as well as the ability to choose our responses to whatever happens to us, based on our values. Proactivity enables Marines to see that they can transform events and circumstances.

When Marines fail to be proactive, they succumb to being reactive. Dr. Covey defines this by arguing that, "Between stimulus and response, man has the freedom to choose" (Covey, 1989). The essence of being proactive comes when Marines use that margin of freedom to make the choices that best apply our values; in that way we gain control of our circumstances, rather than being controlled by them.

Coupled in Covey's argument for proactivity is the Circle of Concern verse the Circle of Influence. When they are proactive, Marines primarily concern themselves with their Circle of Influence, those circumstances that can be directly influenced. It is here that results are produced. We should not worry that we cannot influence things that lie

in the Circle of Concern, those events that we cannot influence. Instead, our actions and strategies of influence are used to achieve our goals.

## **2. Habit 2 Begin With the End in Mind**

This is the principle of personal leadership. In life everything is created twice: first mentally and then physically. Thus, high quality results normally come from clearly defined intentions. This brings forth the concept of a personal, detailed vision for us and our units. The reason detailed vision is critical for all Marines is that Marines continually find themselves caught in the daily quagmire of operations for which they had no input. Thus, a personal vision can be a critical catalyst for not only reprioritizing our daily actions, but also our lives.

Warfighting and TQL continually call on leaders to accomplish missions where the tasks may not be clearly defined. TQL states that the Marine closest to the situation is best suited to create a course of action to achieve the larger vision of the organization. If a shared vision has been created within the organization, then leaders at all levels will be more confident that their actions will "tie in" with the larger vision.

In short, Beginning with the End in Mind goes the next step above just looking towards our own finished product. It forces us to examine our organization's values, principles, goals, and plans. Not only will we just understand the "Big Picture," but also all the interdependent relationships we are involved with at any given time.

## **3. Habit 3 Put First Things First**

This is the principle of personal management. In Habit 1 the Marine is told that he can choose his own actions and that he is in charge of his life. Habit 2 told the Marine

that he needs to go the next step and develop his own vision for his life and organization. Habit 3 is the culmination of the two where the Marine must live out Habits 1 and 2.

All Marine leaders must be effective managers. We must be effective with our time as well as resources. Habit 3 goes beyond traditional management techniques by arguing that the challenge is not to manage time, but oneself and one's priorities. Too often we see Marines living in crisis management mode. If we have the ability to choose our own responses and can create an effective vision for ourselves and the organization, then we should be able to avoid crisis management.

We solve time management problems by giving priority to those activities that are not urgent but important. Urgent activities are those which appear to require immediate attention. Important activities are those which contribute to the mission, goals, and roles of the organization. Thus, by focusing on "Not Urgent but Important" tasks, Marines avoid crisis management and lay the foundations for effective preparation, planning and empowerment.

Habit 1 (Proactive), Habit 2 (Begin with the End in Mind), and Habit 3 (Put First Things First) lay the foundation for all Marine leaders. They provide an inward focus that instructs us on effectiveness. Moreover, they are an orderly sequence of growth that enable Marines to attain *Private Victory* in their personal lives. The following three Habits focus on *Public Victory* (interpersonal effectiveness) by encompassing principles for effective relationships and team-building.

#### **4. Habit 4 Think Win/Win**

This is the principle of interpersonal leadership. Simply put, this means that Marines want other Marines to

win as well as themselves. With a Win/Win solution all parties feel comfortable with the solutions agreed upon. Win/Win is a belief in third alternatives. Here, both parties realize that one person's gain is not always one person's loss. Moreover, it is an understanding that the Third Alternative may be the best.

Marines must realize that we live in an interdependent world and as a result we must cooperate. This is a major paradigm shift for most people. From day one we are scripted with the mind-set that all interaction takes on these components: Win/Lose, Lose/Win, Lose/Lose, or No-Deal. Approaching life from a mind-set of Win/Win requires a major paradigm shift. Here we have to view actions apart from the traditional Zero-Sum game.

The essence of TQL and Warfighting demand cooperation. FMFM 1-3 argues that:

The dilemma, then, is this: How do we achieve the goal of working together in harmony without some sort of centralized control?...The beginning of an answer lies in the word cooperation. (Gray, 1991)

High trust environments are essential for cooperation and a mind-set of Win/Win to flourish. In order to develop these environments, trust at all levels must be cultivated in garrison environments.

We can examine counseling sessions to view Win/Win conditions. Win/Win agreements (outlined in detail in chapter 4) give direction and definition to the senior-junior relationship. If counseling is done with a Win/Win agreement, then the junior Marine would see counseling from a perspective of self-supervision vice hovering supervision. Moreover, the senior and junior would

work together to develop and nurture the five elements of a Win/Win agreement (desired results, guidelines, resources, accountability, and consequences).

#### **5. Habit 5 Seek First to Understand, Then to be Understood**

This is the principle of empathic communication. This Habit strikes at the heart of years of Marine problem-solving techniques. When we seek first to understand, we are in essence admitting that rank does not equate with a monopoly on good ideas.

Empathic listening shows a willingness to be influenced by the other Marine's point of view. Moreover, we seek to identify the emotions driving the behavior. In interdependent situations, the traditional concepts of "right" and "wrong," "winners" and "losers" fail to apply. Thus, to create those Win/Win alternatives, we must allow ourselves to be influenced by the other party.

Common-sense must prevail. During times of conflict or fire, empathic listening can be too time consuming or lengthy. It could even become counterproductive. But in times of lulls in the fighting, as well as times of peace, empathic listening can be of an inestimable use to all leaders.

#### **6. Habit 6 Synergize**

This is the principle of Team-Building. The essence of synergy is in its ability to let us discover jointly things that we are much less likely to discover on our own. When minds stimulate each other and ideas call forth ideas, synergy occurs.

It is impossible for individuals to create synergy alone. It is a by-product that flows from a climate of

conditions that include the Win/Win attitude, seeking first to understand, and the belief in the third alternative.

The Marine Corps is a tremendously diverse organization that encompasses Marines from all backgrounds and walks of life. When Marine leaders honor the differences in individuals and their relationships, Marines will not feel inhibited to express their unique viewpoints. Immediately, this enhances the conditions for a high-trust environment, as well as laying the framework for a synergistic organization.

Teamwork is the direct result of trust and has always served the Marine Corps well. But in this continually evolving era of Joint and Coalition warfare, Marines must strive to respect and appreciate differences among other services and countries alike. We must continually learn from them and what they can offer us. In short, we can view others as a benefit or a threat, and as we decide to choose one or the other, we will determine the quality of our relationships.

The second three habits of effective people are Habit 4 (Think Win/Win), Habit 5 (Seek First to Understand), and Habit 6 (Synergize). These are the Habits of *interpersonal* effectiveness, and when mastered, they lead Marines from independence to interdependence. Lastly, there is Habit 7 (Sharpen the Saw), which is the Habit of doing regular daily activities to cultivate the previous six Habits. Moreover, when accomplished, it will transform the Seven Habits into effective behavior that is both spontaneous and natural.

#### **7. Habit 7 Sharpen the Saw**

This is the principle of Self-Renewal. The Total Quality movement called for continuous improvement, which sought to continually revisit all aspects of the

organization. Here, we daily revisit the six Habits to further our understanding and commitment. In the end, we create self-mastery in our lives that builds confidence.

There are four dimensions in every Marine's life: *physical, social, mental, and spiritual*. The *physical* is the body. Daily we master this portion with the proper use of exercise, nutrition, and rest. The *social* is our relationships. Daily we strive to enhance our relationships at work and home. As Marines we realize that if we live Habits 4,5, and 6 we will continue to build effective teams and families. The *mental* is the mind. This is the continual development of our personal knowledge. After graduation from schoolhouse settings, Marines tend to stagnate in the area of mental growth. PME (Professional Military Education) seeks to remedy this problem, but is only as effective as the individual Marine's personal commitment. The *spiritual* is the leadership of life. This is what gives us meaning, purpose, and value. When Marines revisit Habit 2 and review their personal mission statement and vision for life, they take a profound step towards ensuring that their life is on course with their core values and beliefs.

All seven of these Habits form the Maturity Continuum. *Private Victories* must precede *Public Victories* (Covey, 1989). A Marine must move from a stage of dependence, through independence, before he or she can share the fruits of interdependence. Thus, when all seven Habits are taken together and continually revisited, then each Marine's personal character is enhanced. This is the essence and foundation for true effectiveness.

Thus far, it has been argued that the basic needs Marine leaders will require in the 21st century can be met by incorporating the Seven Habits. Moreover, these Habits go far towards enabling Marines to maintain their personal and interpersonal effectiveness within their daily lives.

Effectiveness at the personal and interpersonal levels only discuss half of our lives as leaders. As Marine leaders, we still operate in the Managerial and Organizational realms of the Corps. This is what will be referred to as the Managerial and Organizational levels and will be further discussed in the following chapter.



#### IV. PRINCIPLE CENTERED LEADERSHIP

*Principles are tightly interwoven threads running with exactness, consistency, beauty, and strength through the fabric of life. (Covey, 1993)*

The foundation of **Principle Centered Leadership** (PCL) is the Seven Habits. As the Marine Corps moves into the 21st century, the Seven Habits are best suited to fill those needs required by Marine leaders to increase our effectiveness during uncertain times. If Marine leadership efforts are grounded on enduring principles rather than past practices and techniques, we will be better able to navigate through the uncertainty of the next generation.

Thus far, the *personal* and *interpersonal* levels of the Marine Corps have been addressed through the chapter on the Seven Habits. The *managerial* and *organizational* levels are discussed next. Whereas the personal and interpersonal levels reflected trustworthiness and trust as their governing principles, the managerial and organizational levels have empowerment and alignment as their governing principles.

##### A. PRINCIPLE CENTERED LEADERSHIP

The following model outlines the **Principle Centered Leadership Paradigm** (see Figure 2), which explains how all parts of an organization are interrelated and must work in harmony. The model represents a holistic, developmental, and people-focused approach towards understanding an organization. This model will be the basis for discussing both the *managerial* and *organizational* levels of the Marine Corps.

## Principle-Centered Leadership Paradigm

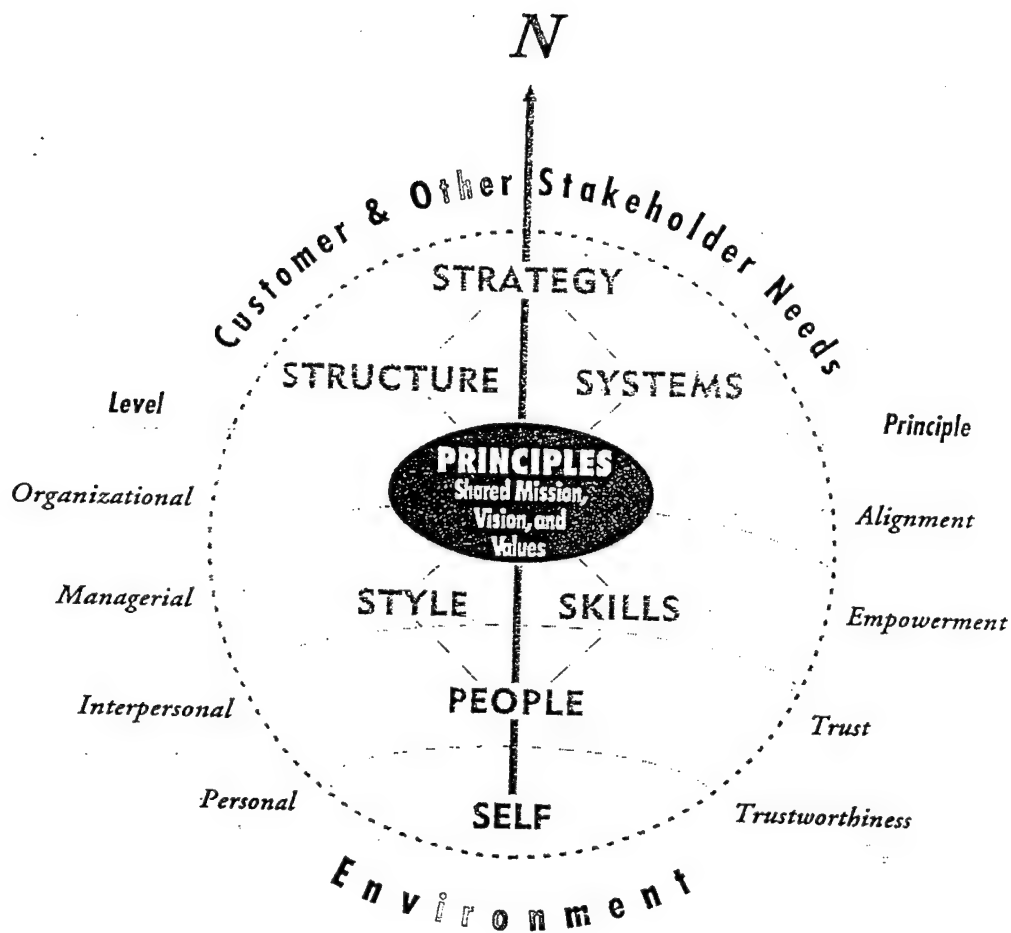


Figure 2. Principle-Centered Leadership Paradigm  
(Source: Covey, 1991)

## B. ROLES OF LEADERSHIP

Prior to beginning a comprehensive study of PCL, the roles that Marine leaders play need to be examined. For it is in these roles that we derive our actions.

FMFM 1 argues that everything a leader does should serve one of two purposes: "waging war or preparing for war." (Gray, 1989). In short, our leadership actions are justified if only they contribute to preparedness for a future conflict or fighting in a present one. Thus, if PCL is to be considered of value for Marine leaders it must enhance our leadership roles.

PCL can be defined within the confines of four leadership roles: *modeling*, *pathfinding*, *aligning*, and *empowering*. All four of these leadership roles not only tie in with our traditional notions of effective leadership, but also accurately define leadership roles for the managerial and organizational levels that are essential for sustaining our unique fighting capability. An overview of the four roles follows.

Since a Marine's character and competence lie at the core of his actions, then what he models or displays in his daily actions becomes a role. Therefore, one could argue that **Modeling** Principle Centered Leadership would become a role for Marine leaders.

Marines have always espoused the principle "set the example." When we set the example we are "living" our beliefs and actions for all Marines to see. The more successful we are at modeling PCL, the more trust is created between ourselves and our Marines through our consistent actions. Thus, trustworthiness becomes the essential principle for the leadership role of modeling. If a leader

fails to be trustworthy, his modeling efforts become lessened and he fails to "set the example." In short, *Character + Competence = Modeling.*

Secondly, leaders are **Pathfinders**. Pathfinders create the vision for the organization. Once the vision is understood, Marines can begin to discover "customer" needs, as well as start to define the mission and strategy of the unit in relation to those needs.

Again Pathfinders must have the principle of trust as the basis of their actions. If Marine leaders fail to build trust in their units, their mission and strategy will not be espoused by all Marines, thus decreasing morale and effectiveness.

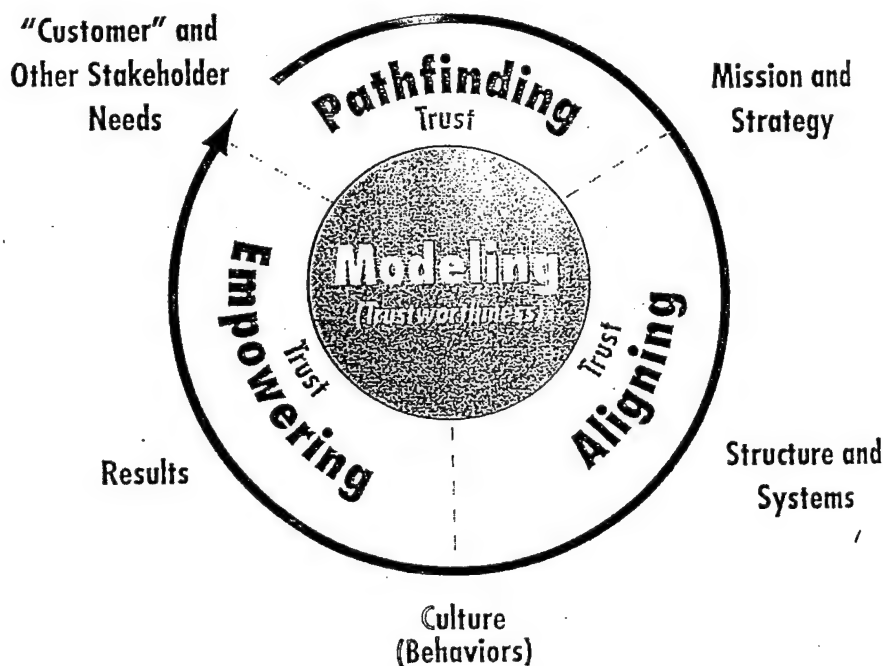
Thirdly, a leader lives the role of one who continually **Aligns** an organization within the proper scope of Marine practices and policy. With a principle centered path in place, all structures and systems are developed or modified to implement a principle centered plan. This is the operational contribution to the vision. When structures and systems fail to be in alignment with the organization's core values and beliefs, cynicism amongst Marines is created and effectiveness is lowered.

Fourthly, leaders are continually **Empowering**. In order to enable Marines to effectively implement a plan within an aligned system, conditions that nurture empowerment must exist.

These conditions for empowerment are best stated in the principles of the Seven Habits. When leaders practice these Habits and implement them in their work environment, the proper conditions result.

Empowering goes beyond decentralization. To be successful, Marines leaders must unleash the creative capacity that Marines possess to accomplish tasks. Moreover, this creativity must be nurtured and allowed to flourish within the organization.

Below (see Figure 3) is what Covey calls the **Performance Cycle** and succinctly illustrates the four leadership roles. Each role possesses trust as its base principle.



**Figure 3, The Performance Cycle**  
(Source: Covey, 1994)

Leadership is multidimensional and is described by the four interacting levels (Personal, Interpersonal, Managerial, Organizational). At the Managerial level, Marine leaders must foster empowerment, as well as reduce the constraints that fail to allow Marines to reach success. At the Organizational level, Marine leaders must ensure that their unit is properly aligned around the Corp's commonly shared mission, vision, and values. As will be detailed next, the four leadership roles (Modeling, Pathfinding, Aligning, Empowering) surround the Seven Habits and the PCL Paradigm.

### **C. PATHFINDING**

All Marine leaders should be pathfinders. Thus, there are two basic functions that all Marine leaders, acting as pathfinders, conduct. First, we create an inspiring direction and purpose for our organization. Secondly, we ensure that all the needs of personnel directly impacted are identified and met through that direction and purpose.

*Mission, vision, and values* are an integral component of every Marine unit. Too often, we interchange these words, and in the end they lose their impact.

**Mission** refers to the question, "Why do we exist?" Similar to a mission order where the mission tells the Marine "what" he is going to accomplish, the Mission statement keeps all Marines in the unit focused on why we exist. The leader must ensure that the Mission statement is created and understood by all.

**Vision** communicates the future desired state. In short, it communicates to all Marines, "Where are we going?" The vision statement must be challenging, inspiring, and simple.

Furthermore, it enables the unit to have a shared purpose where all Marines in the unit can identify with a specific commitment.

**Values** answer the question, "How will we treat each other?" When the mission (purpose) and the vision (direction) are in place, then the clarifying values eliminate confusion of meaning between Marines, both within and without the organization.

Dr. Covey (1994) states that there are four basic needs that every individual and Marine organization can possess. They apply to all Marines alike. Earlier they were explained within the confines of Habit 7 (Sharpen the Saw). These four needs are: 1. *Physical/Economic*, 2. *Social/Emotional*, 3. *Mental/Intellectual*, 4. *Spiritual/Meaning*.

The *Physical/Economic*, metaphor **Stomach (to Live)**, is the need fundamental to survival. Simply put, all Marines need to have the resources to survive and provide for their families.

The *Social/Emotional*, metaphor **Heart (to Love)**, refers to the fact that all Marines must feel self worth and importance. No Marine will feel effective if he is ostracized and regarded as inconsequential towards unit success.

The *Mental/Intellectual*, metaphor **Mind (to Learn)**, regards each Marine's craving for knowledge and understanding. Leaders need to recognize that Marines need to grow intellectually. Whether through education or specific military occupational specialty (MOS) training, personal development creates the inner sense of worth and effectiveness in each Marine.

The Spiritual/Meaning, metaphor **Soul (to Leave a Legacy)**, refers to each Marine's desire for contribution. Marines feel the need to identify with traditions, customs, and norms for they embody the very state of what makes a Marine. As their careers progress, leaders must realize that Marines want to contribute to something that makes a difference in each unit. This contribution ignites what Dr. Covey (1994) calls the fire within.

Each Marine and organization can attain fulfillment of these four basic needs. What must be remembered is that if we disregard one, in the end, we may create discontent or confusion which will decrease organizational effectiveness and satisfaction.

The Pathfinder, acting as the visionary, needs to realize that there is an important interdependency between application of the Seven Habits at the private and public stages to all he/she does at the managerial and organizational levels. For it is through the application of the Seven Habits that the foundation for success is laid at the managerial and organizational levels.

The Pathfinder also identifies the Mission, Vision, Values, and personnel needs. It is not a process that is accomplished alone. It requires total cooperation with the Marines and personnel affected. Moreover, a sincere regard to embracing the Seven Habits must be put forth to ensure that all personnel in the organization can move from dependence to interdependence.



#### D. ALIGNING

Just as every Marine leader must be a Pathfinder, he/she also needs to be an Aligner. Once the pathway is created with the use of a principle centered Mission, Vision, and Values, then the leader must ensure that all of the systems in place support instead of hinder them. In short, all four levels--*Personal, Interpersonal, Managerial, and Organizational*--must be simultaneously aligned with their governing principles.

As mentioned, the *Personal* and *Interpersonal* levels have **Trustworthiness** and **Trust** as their governing principles. At the heart of all Marine interactions, both in peace and conflict, trust is the key principle.

At the *Managerial* level, **Empowerment** is the governing principle for both the *style* and *skill* each leader possesses. First, the style a leader uses will usually direct the unit's behavior. In order for empowerment to work at the managerial level, all relationships must have been nurtured with trust at the interpersonal level. Again, this precludes that every Marine employs the principle of trustworthiness in all he does at the personal level.

All Marine leaders continually have to balance empowerment and direct leadership depending upon the situation at hand. But the degree that empowerment is used effectively will depend in large part to how much trust resides in the relationship.

Secondly, at the *Managerial* level, the skills that a leader uses should be governed by the principle of empowerment also. Skills are the competence of the Marine. In order to enable each Marine's skills to flourish, a

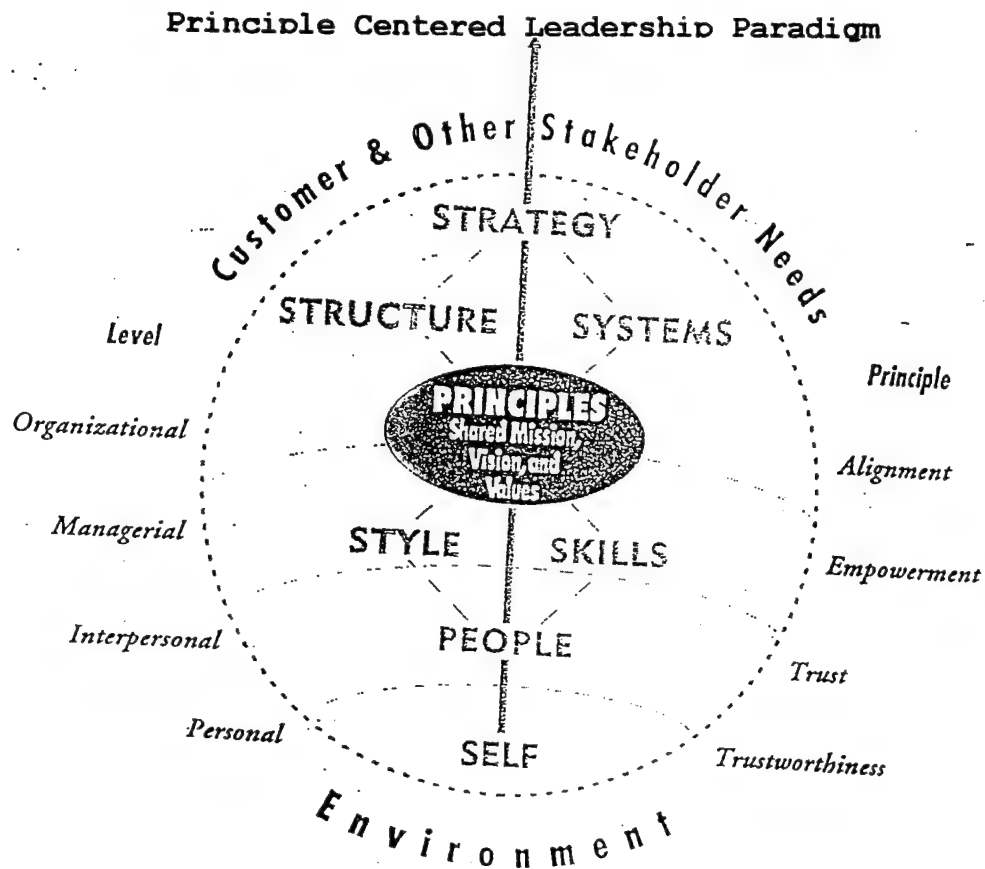
nurturing environment conducive to empowerment needs to be embraced.

Thus, if the style and skills are consistent with the organization's principles and values, trustworthiness and trust at the managerial level can be created. In turn, this alignment nurtures the conditions necessary for empowerment to work.

At the *Organizational* level **Alignment** is the governing principle that links the structure, systems, strategy, and needs of every unit with principles. For example, if our organization is such that the "right" Marines are doing the "wrong" jobs, or Marines are not able to get decisions or approval without encountering excessive bureaucracy, then our structure may be out of alignment.

Likewise, if new Marines have no system in place to mentor or train them, or if there is no place for sharing new learning, and decisions fail to be based on Mission and Strategy, then probably our system is out of alignment. Talk is often cheap and systems will usually override rhetoric.

Again, the **Principle Centered Leadership Paradigm** (see **Figure 2**) illustrates a holistic, developmental, Marine-focused model that can relate effective governing principles to every level and activity in each Marine organization.



**Figure 2. Principle-Centered Leadership Paradigm**

(Source: Covey, 1991)

#### **E. EMPOWERING**

The third role a leader embodies is that of one that empowers his/her subordinates. Initially, a leader uses character and competence, as well as integrity and trustworthiness as a model. Next, he/she becomes a Pathfinder where they ensure that the mission and strategy of the organization are understood by all. Thirdly, the Marine is an Aligner within the unit. The leader ensures that the structure and systems are in line with the governing principles. Lastly, a leader Empowers. This is where the leader gets results.

The principle of empowerment is often difficult for Marines to understand. We tend to equate it with decentralization. Empowerment goes beyond decentralization. When you break down the root of empower, "power" means *the ability to act, the capacity to exercise control, and one's potential*. The prefix, "em" refers to *within* or *in*. Thus, empower can be defined as **the power within**. What we must remember is that effective empowerment means cultivating the proper conditions for Marines to display their **power within**.

Often Marine leaders feel that they can quickly install empowerment within their organization. This can never be the case. Empowerment can only flourish where **conditions** are cultivated in which empowerment can grow. These conditions for empowerment are best stated in the Seven Habits. Too often we look for quick fixes to bestowing an empowering process. If the conditions for empowerment are not nourished, failure will result. Dr. Covey explains the importance of cultivating the conditions of empowerment:

Principle-centered leaders do not bestow or install empowerment. Instead, they cultivate conditions in which empowerment can grow. As empowerment is cultivated (understood and internalized) by both leaders and followers, it releases a synergistic, creative energy from everyone in the organization. Results include improvement in processes and productivity, people excited about their opportunities, and a progressive and successful organization. (Covey, 1995)

Dr. Covey (1995) uses the analogy of growing a world class tomato to nurturing a highly empowered culture. To grow it requires patience, attention, and cultivation. Too much of any one ingredient can damage the plant and decrease its fruit, even kill the seed. But, if the soil is nurtured and the seeds are cultivated with the proper ingredients,

then the tomato plant will grow. The same can be said of empowerment.

Being an effective leader requires us to behave more like gardeners instead of mechanics. As leaders we need to cultivate relationships to stimulate growth. We must emphasize an inside-out approach toward Marine life. In short, we must bring the life out of the people (seed) and nurture their growth by cultivating a growth conducting culture.

Empowerment is also a strategic choice. In order to cultivate the conditions necessary for empowerment to succeed, our strategy must embody an empowering theme. For example, an organization can claim empowerment but until the strategy, mission, vision, and values are in line to embrace empowerment, then the goal for empowerment will probably fall short.

For empowerment to work the strategy must be clearly defined and planned. The aforementioned Seven Habits go a long way to ensure that the critical conditions for empowerment are present.

In short, empowerment can be a confusing term. In the end, Marine leaders need only remember that the three following criteria be present within their organization to ensure that the foundation is present.

1. Creation of Conditions: When able, Marines must feel that they are free to express their opinions without fear of retribution. Empowerment is not something that we do to others.

2. Maximization of Talents and Energies: Leaders must ensure that all Marines talents, skills, and desires are utilized.

### 3. Focus toward a clear and meaningful purpose:

Empowerment will be most effective when Marines are working towards a shared mission or goal.

When leaders are living this role, they lay the framework for ensuring that synergy can result. In the Seven Habits the third alternative was mentioned as an often better alternative between two arguments or opinions. Empowerment lends itself towards the creation of the third alternative. It is not compromising, rather it is moving to an interdependent stage within our relationships. The following outlines the stages.

*Control* is what we do to dependent Marines. When trust is low and the foundation for empowerment is not present, we direct Marines to action.

*Abandonment* is when we leave independent subordinates alone with no direction. Often this results in chaos and it can leave Marines with no direction or accountability.

*Empowerment* does not lie between control and abandonment; rather, it is the third alternative. Here we recognize that Marines have the capabilities and skills to organizational goals and we work with them in an interdependent manner to best accomplish the mission.

Lastly, Dr. Covey (1991) defines the *Win/Win agreement process* as a function of living the empowering role. Often resistance is met when two sides seek to accomplish a task. The *Win/Win agreement* addresses the basic areas common to all empowering situations and if followed can lead to mutual satisfaction.

1. *Desired Results*: This is where both sides seek to understand the desired outcomes.

2. *Guidelines*: This is where Marines identify the boundaries within their requests can be accomplished.

3. *Resources*: This is where the Marine is ensured that he will have the financial, technical, and organizational resources necessary to accomplish the mission.

4. *Accountability*: This is where the Marine will be directed to how and when his feedback will be shared.

5. *Consequences*: This is where the Marine will be told of the outcome that could result from his actions. Specifically, what purpose his actions may/ may not serve the organization.

When we fail to incorporate any of these five elements in the directions we give Marines, often frustration and poor performance can result. For example, I could direct a Marine to do a task, but if I fail to tell him/her the desired result, the guidelines of the project, the resources he/she will have, when I will present the feedback, and what the consequences will be if the task fails to meet standards, then confusion or frustration may result.

During times of conflict it may be difficult to ensure that all five are met. But if the Win/Win agreement became instinctive, more often than not performance would increase and these areas common to all empowering situations would become second nature.

## **F. MODELING**

There are four leadership roles that Marine leaders perform. First, we are Pathfinders. Secondly, we are aligners of our organization. Thirdly, we empower Marines to accomplish their mission in an interdependent manner. Lastly, all marine leaders *model* leadership. Since it is

more important how a leader acts instead of what a leader says, the role of Modeling is addressed last.

Effective leadership starts with becoming an effective person. Marines are told that the most important aspect of leadership is to *"set the example."* Modeling Principle-centered leadership can be narrowed to the same statement, *"set the example."*

At the center of the four levels of leadership (Personal, Interpersonal, Managerial, Organizational) is trust. Trust is developed when a leader's actions are in harmony with the personal and organizational values of the unit. If Marine leaders embraced the Seven Habits and our organizational values were based off of the Seven Habits, then Modeling Principle-centered leadership would result.

Previously it was stated that when Marines are not principle-centered they may base their actions upon other influences instead of internal principles. As a result, Marines and their organizations may become out of synch, resulting in reduced effectiveness. When we are principle-centered leaders our influence on others is positive and our circle of influence can grow. As principle-centered leaders we can serve as examples and Marines would regard us as worthy of imitation, of models to emulate.

Effective leaders must possess and exude the character that breeds trust. All successful Marine leaders of our past have been glorified by not just their conduct under fire, but also the depth of their character. How we view our leaders today should be no different. Modeling a principle-centered lifestyle for all Marines to see not only enhances trust but also increases unit effectiveness.



*Modeling, Pathfinding, Aligning, and Empowering* are the four leadership roles that all Marine leaders perform. To be effective they must be linked with the Seven Habits. Habits 1-3 (Be Proactive, Begin With the End in Mind, Put First Things First) ensure that individual Marines have that inside-out approach and that important private victory. Habits 4-6 (Think Win/Win, Seek First to Understand, Synergize) create the important public victory and are the conditions necessary for empowerment and quality. Habit 7 (Sharpen the Saw) is continuous improvement and ensures that Marines and their units are physically, spiritually, mentally, and socially in balance.

Thus, with the Seven Habits as the foundation, principle-centered leadership can flourish. With principle-centered leadership as our conerstone, Marines have the capability to best meet those needs that will arise throughout the uncertainty of the upcoming 21st century.



## V. CONCLUSIONS

Warfare in the 21st century will move down two divergent paths. On the one hand, it will reflect many of the characteristics displayed during the Gulf War: decentralization of the battlefield, four dimensional theater, utilization of high-tech weapons, quick tempo, and an overabundance of information flow. On the other, it will reflect the recent occurrences referred to as Operations Other Than War. Here Marines will be sent into action where war is not the primary medium of conflict. This diversity in warfare will create many demands for Marine leaders that will necessitate the identification of specific leadership needs that Marine leaders will need to fulfill.

This thesis addresses the needs all Marine leaders, acting as decision makers, will face. Moreover, this thesis explains why an integration of Stephen R. Covey's The Seven Habits of Highly Effective with Principle-Centered Leadership will fill those needs. Not only would this integration enhance Marine leadership but also create the necessary foundation at the personal and interpersonal levels for success.

The needs best suited to meet the challenging demands of 21st century warfare are: *to be proactive, far sighted, effective managers, cooperative, empathic communicators, team-builders, and continuously improving*. These critical needs are best met through the integration and application of the Seven Habits. The Seven Habits of effective Marine decision makers are: *be proactive, Begin with the end in mind, put first things first, think win/win, seek first to understand, synergize, and sharpen the saw* (Covey, 1987).

The successful application of the Seven Habits provides the private victories for Marines at the personal and interpersonal levels. This is critical due to the fact that a Marine organization is only as effective as the individual Marines that comprise the unit. Thus, the Seven Habits lay the foundation for personal effectiveness, which is essential for public effectiveness at the managerial and organizational levels.

Once the foundation is in place, the Marine Corps' managerial and organizational levels can be considered. Principle-Centered leadership is the tool that Marines can utilize to ensure that their managerial and organizational levels are in proper alignment with governing principles. At the managerial level *empowerment* is the governing principle. Marine leaders must unleash the creative capacity that all Marines possess in order to effectively accomplish given tasks. Moreover, this creativity must be nurtured in an environment that enables empowerment to flourish. At the organizational level, *alignment* is the governing principle. Marine leaders must ensure that all structures and systems are developed or modified to implement a principle-centered plan. When Marine organizations fail to be in compliance with their core values and beliefs, cynicism amongst Marines is created and overall effectiveness is lowered.

Lastly, there are leadership roles Marines live that directly affect others at all four levels (personal, interpersonal, managerial, organizational) of the Marine Corps. FMFM 1 states that everything a Marine does should either help us to prepare for war or directly wage war (Gray, 1989). Thus, these four leadership roles (*modeling*,

*pathfinding, aligning, empowering*) must contribute to this philosophy.

The first leadership role is referred to as **Pathfinder**. Pathfinders create the mission, vision, and strategy for the organization. Moreover, he/she realizes the interdependency between application of the Seven Habits at the private and public stages to all that is done at the managerial and organizational levels. For it is through the application of the Seven Habits that the foundation for success is created.

Secondly, Marines are **Aligners** that ensure that all of the systems in place support the aforementioned mission, vision, and strategy. At each level of the Marine Corps there are governing principles that need to be applied for combat effectiveness. As mentioned, trustworthiness and trust link with the personal and interpersonal levels. At the managerial and organizational levels empowerment and alignment apply.

The governing principle of empowerment refers to both the leadership style and skill each Marine uses. If the style and skills Marines utilize are consistent with the organization's values, mission, vision, and strategy, then the conditions necessary for empowerment to flourish can exist.

Thirdly, Marines **Empower** others. Often Marine leaders feel that they can quickly install empowerment within their organization. This can never be the case. Empowerment can only flourish where *conditions* are cultivated in which empowerment can grow. These conditions for empowerment are best stated in the Seven Habits. Too often we look for quick fixes to bestow an empowering process. If the conditions for empowerment are not nourished, failure will result.

Also, creating Win/Win environments is an essential component of an empowering culture. Here the basic areas common to all empowering situations are outlined (desired results, guidelines, resources, accountability, consequences) and if followed often lead to mutual satisfaction to all parties involved.

The fourth leadership role is **Modeling**. Effective leadership and decision making starts with becoming an effective person. When Marines live a principle-centered lifestyle and "set the example" in all they do, trust increases within the organization and a Marine's influence grows. Marines' character plus their competence define their capabilities as leaders. Becoming successful modelers is therefore essential to enhanced unit effectiveness.

The needs that Marine decision makers will require in the next century are complex. Stephen R. Covey's, **The Seven Habits of Highly Effective People** and **Principle-Centered Leadership** are best suited to fill those needs. Integrating principle-centered leadership with current Marine Corps leadership education efforts would enhance the Marine decision making process. Specifically, it would create the necessary foundation at the personal and interpersonal levels that are required for success. Once the Marine's foundation is established, the managerial and organizational levels of the Marine Corps have the structure in place for creating and maintaining a principle-centered alignment that will increase all Marines' leadership ability as the 21st century approaches. With principle-centered leadership as a cornerstone, Marines have the capability to not only become effective leaders but also best meet those needs that will

arise throughout the uncertainty of the upcoming 21st century.





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